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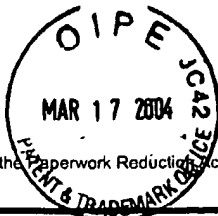
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PTO/SB/08A (10-01)

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Substitute for Form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

### Complete if Known

|                        |                |
|------------------------|----------------|
| Applicant N .          | 09/851,593     |
| Filing Dat             | May 8, 2001    |
| First Nam d Inv nt r   | Tian Shen      |
| Art Unit               | 2633           |
| Examiner Name          | Dalzd E. Singh |
| Attorney Docket Number | 20852-05135    |

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| Sheet | 1 | of | 1 |
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### U.S. PATENT DOCUMENTS

| Examiner Initials* | Cite No. <sup>1</sup> | Document No.<br>Number - Kind Code <sup>2</sup> (if known) | Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document |
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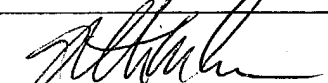
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### FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Cite No. <sup>1</sup> | Foreign Patent Document<br>Country Code <sup>3</sup> -<br>Number <sup>4</sup><br>Kind Code <sup>5</sup> (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | T <sup>6</sup> |
|--------------------|-----------------------|--|--------------------------------|--|----------------|
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| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b> |   |    |   | <b>Complete if Known</b> |                |                 |
|  |   |    |   | Application No.          | 09/851,593     |                 |
|  |   |    |   | Filing Date              | May 8, 2001    |                 |
|  |   |    |   | First Named Inventor     | Tian Shen      |                 |
|  |   |    |   | Art Unit                 | 2633           |                 |
|  |   |    |   | Examiner Name            | Dalzd E. Singh |                 |
| Sheet  | 1 | of | 1 | Attorney Docket Number   | 20852-05135    | <b>RECEIVED</b> |

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| Examiner Initials*    | Cite No. <sup>1</sup> | Document No.<br>Number - Kind Code <sup>2</sup> (if known) | Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document |
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| nc                       | 4                     | JP09022038 A   | 01-21-1997                     | Kokusai Electric Co Ltd                            |                |
| nc                       | 5                     | JP09098155 A   | 04-08-1997                     | Matsushita Electric Ind Co Ltd.                    |                |

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| Examiner Initials*                                 | Cite No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published                         |  |  | T <sup>6</sup> |
| nc   | 6                     | Blumenthal, Daniel J. et al., "Fiber-Optic Links Supporting Baseband Data and Subcarrier-Multiplexed Control Channels and the Impact of MMIC Photonic/Microwave Interfaces," <i>IEEE Transactions on Microwave Theory and Techniques</i> (August 1997), Vol. 45, No. 8, pp. 1443-1451. |  |  |                |
| nc   | 7                     | Liew, Soung C. et al., "A Broad-Band Optical Network Based on Hierarchical Multiplexing of Wavelengths and RF Subcarriers," <i>Journal of Lightwave Technology</i> (November 1989), Vol. 7, No. 11, pp. 1825-1838.   |  |  |                |

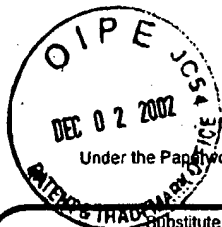
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| Application No.        | 09/851,593      |
| Filing Date            | May 8, 2001     |
| First Named Inventor   | Tian Shen       |
| Art Unit               | 2633            |
| Examiner Name          | Dalzid E. Singh |
| Attorney Docket Number | 5135 US         |

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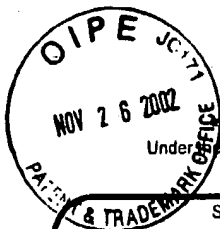
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|  |                  |    |   | Application No.                      | 09/851,593  |
|  |                  |    |   | Filing Date                          | May 8, 2001 |
|  |                  |    |   | First Named Inventor                 | Tian Shen   |
|  |                  |    |   | Art Unit                             | 2633        |
| Examiner Name  | Dalziel E. Singh |    |   |                                      |             |
| Attorney Docket Number                                   | 5135 US          |    |   |                                      |             |
| Sheet  | 1                | of | 1 |                                      |             |

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| Examiner Initials*    | Cite No. <sup>1</sup> | Document No.<br>Number - Kind Code <sup>2</sup> (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document |
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| nc                       | A                     | EP 0982969 A2  | 03/01/2000                     | Nortel Networks Corporation                        |                |
| nc                       | B                     | EP 0822691 A2  | 02/04/1998                     | Victor Company of Japan, Limited                   |                |
| nc                       | C                     | FR 2755552 A1  | 05/07/1998                     | Telediffusion FSE                                  |                |
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| nc   | D                     | PCT International Search Report for International Application No. PCT/US 01/15950, Date of Mailing October 17, 2002, 6 pages   |  |  |                |
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|  |               |    |   | <b>Complete if Known</b>             |             |
|  |               |    |   | Application No.                      | 09/851,593  |
|  |               |    |   | Filing Dat                           | May 8, 2001 |
|  |               |    |   | First Named Inventor                 | Tian Shen   |
|  |               |    |   | Art Unit                             | 2633        |
| Examiner Name  | Not Yet Known |    |   |                                      |             |
| Attorney Docket Number                                   | 5135 US       |    |   |                                      |             |
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| Examiner Initials*    | Cite No. <sup>1</sup> | Document No.<br>Number - Kind Code <sup>2</sup> (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document |
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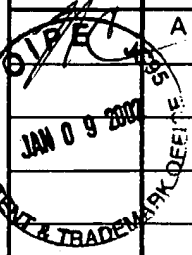
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| <b>INFORMATION DISCLOSURE CITATION</b><br>(Use several sheets if necessary) |  |  |  | Applicant<br><b>Tian Shen et al.</b>        |  | Filing Date<br><b>May 8, 2001</b> |  |
|   |  |  |  | Group Art Unit<br><b>2633</b>               |  |                                   |  |

| U.S. PATENT DOCUMENTS   |   |                 |          |               |       |          |                            |
|---|---|-----------------|----------|---------------|-------|----------|----------------------------|
| Examiner Initial  | A | Document Number | Date     | Name          | Class | Subclass | Filing Date If Appropriate |
|  |   | 5,930,231       | 07/27/99 | Miller et al. | 370   | 210      |                            |
|   |   |                 |          |               |       |          |                            |
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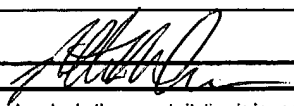
  

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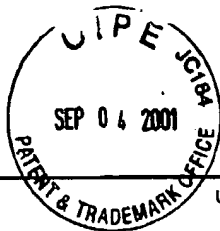
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| FORM PTO-1449<br>(REV. 6-89)  |   | U.S. DEPARTMENT OF COMMERCE<br>Patent and Trademark Office   |          | Attorney's Docket No.<br>20852-05135 |       | Serial No.<br>09/851,593   |                            |    |
|---|---|--|----------|--------------------------------------|-------|----------------------------|----------------------------|----|
| <b>INFORMATION DISCLOSURE CITATION</b><br>(Use several sheets if necessary)   |   |  |          | Applicant<br>Tian Shen et al.        |       | Filing Date<br>May 8, 2001 |                            |    |
|   |   |  |          | Group Art Unit<br>2633               |       |                            |                            |    |
| <b>U.S. PATENT DOCUMENTS</b>  |   |  |          |                                      |       |                            |                            |    |
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| nc  | A | 6,078,412  | 06/20/00 | Fuse et al.                          | 359   | 124                        | 10/03/96                   |    |
| nc  | B | 5,878,088  | 03/02/99 | Knutson et al.                       | 375   | 324                        | 04/10/97                   |    |
| nc  | C | 5,680,238  | 10/21/97 | Masuda                               | 359   | 132                        | 11/09/95                   |    |
| nc  | D | 5,596,436  | 01/21/97 | Sargis et al.                        | 359   | 132                        | 07/14/95                   |    |
| nc  | E | 5,576,874  | 11/19/96 | Czerwicz et al.                      | 359   | 123                        |                            |    |
| nc  | F | 5,559,561  | 09/24/96 | Wei                                  | 348   | 470                        | 07/15/94                   |    |
| nc  | G | 5,461,612  | 10/24/95 | Göckler et al.                       | 370   | 55                         | 10/24/94                   |    |
| nc  | H | 5,430,568  | 06/04/95 | Little et al.                        | 359   | 124                        |                            |    |
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| nc  | J | 5,351,148  | 9/27/94  | Maeda et al.                         | 359   | 124                        | 05/26/93                   |    |
| nc  | K | 4,953,156  | 8/28/90  | Olshansky et al.                     | 370   | 3                          | 09/08/88                   |    |
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| nc  | M | 4,061,577  | 12/06/77 | Bell                                 | 250   | 199                        | 8/18/76                    |    |
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|   |   | Document Number  | Date     | Country                              | Class | Subclass                   | Translation                |    |
|   |   |  |          |                                      |       |                            | Yes                        | No |
| nc  | N | EP 0 717 521 A   | 06/19/96 | EP                                   |       |                            |                            | No |
| nc  | O | EP 0 756 393 A1  | 01/29/97 | EP                                   |       |                            |                            | No |
| <b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>   |   |  |          |                                      |       |                            |                            |    |
| nc  | P | Alcatel, "Alcatel 1680 SM 10 Gbps (STM-64) Add Drop Multiplexer", copyright 1997 (printed from <a href="http://www.alcatel.com/telecom/mbd/products/products/1680sm.htm">http://www.alcatel.com/telecom/mbd/products/products/1680sm.htm</a> on May 24, 1999), pp. 1-4 |          |                                      |       |                            |                            |    |
| nc  | Q | Alcatel, "Alcatel 1692 SM 10 Gbps (OC-192) SONET Transport System", copyright 1997 (printed from <a href="http://www.alcatel.com/telecom/mbd/products/products/1692.htm">http://www.alcatel.com/telecom/mbd/products/products/1692.htm</a> on May 24, 1999), pp. 1-2   |          |                                      |       |                            |                            |    |
| nc  | R | Alcatel, "The OPTINEX Family of Network Elements", copyright 1997 (printed from <a href="http://www.alcatel.com/telecom/tsd/products/family.htm">http://www.alcatel.com/telecom/tsd/products/family.htm</a> on May 24, 1999), pp. 1-7                                  |          |                                      |       |                            |                            |    |
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| EXAMINER  |   |  |          | DATE CONSIDERED 8/5/04               |       |                            |                            |    |
| EXAMINER: Initial if references considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. |   |  |          |                                      |       |                            |                            |    |
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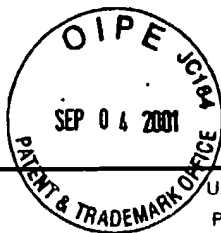


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| <b>FORM PTO-1449</b><br>(REV. 6-89)  |    | <b>U.S. DEPARTMENT OF COMMERCE</b><br>Patent and Trademark Office  |             | <b>Attorney's Docket No.</b><br>20852-05135 |              | <b>Serial No.</b><br>09/851,593 |                                   |
| <b>INFORMATION DISCLOSURE CITATION</b><br><br>(Use several sheets if necessary)  |    |  |             | <b>Applicant</b><br>Tian Shen et al.        |              |                                 |                                   |
|  |    |  |             | <b>Filing Date</b><br>May 8, 2001           |              | <b>Group Art Unit</b><br>2633   |                                   |
| <b>U.S. PATENT DOCUMENTS</b>   |    |  |             |   |              |                                 |                                   |
| <b>Examiner Initial</b>  |    | <b>Document Number</b>   | <b>Date</b> | <b>Name</b>                                 | <b>Class</b> | <b>Subclass</b>                 | <b>Filing Date If Appropriate</b> |
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| <b>FOREIGN PATENT DOCUMENTS</b>  |    |  |             |   |              |                                 |                                   |
|  |    | <b>Document Number</b>   | <b>Date</b> | <b>Country</b>                              | <b>Class</b> | <b>Subclass</b>                 | <b>Translation</b><br>Yes No      |
|  |    |  |             |   |              |                                 |                                   |
|  |    |  |             |   |              |                                 |                                   |
| <b>OTHER DOCUMENTS</b> (Including Author, Title, Date, Pertinent Pages, Etc.)  |    |  |             |   |              |                                 |                                   |
| MC   | T  | Cambrian Systems Corporation, "OPTera Metro Optical Networking Platform Product Information," copyright 1997 (printed from <a href="http://www.cambriansys.com/productinfo.htm">http://www.cambriansys.com/productinfo.htm</a> on May 24, 1999), pp. 1-4   |             |   |              |                                 |                                   |
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| MC   | W  | Fujitsu Network Communications, Inc., "Flash-192 Fujitsu Lightwave Add/Drop Multiplexer," copyright 1997 (printed from <a href="http://www.fnc.fujitsu.com/technology/falsh192.htm">http://www.fnc.fujitsu.com/technology/falsh192.htm</a> on May 24, 1999), pp. 1-4   |             |   |              |                                 |                                   |
| MC   | X  | Fuse, M., Y. Kudo, K. Maeda, "Development of 128 Optical Distribution System of 150 chs AM/QAM Hybrid Signals", <u>Electronics and Communications in Japan</u> , November 1996, Volume 79, Issue 11, Part 1, pp. 65-77   |             |   |              |                                 |                                   |
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| <b>EXAMINER</b>  |    |  |             | <b>DATE CONSIDERED</b> 8/5/01               |              |                                 |                                   |
| <small>EXAMINER: Initial if references considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered.<br/>Include copy of this form with next communication to applicant.</small> |    |  |             |   |              |                                 |                                   |



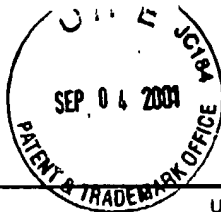
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| FORM PTO-1449<br>(REV. 6-89)  |    | U.S. DEPARTMENT OF COMMERCE<br>Patent and Trademark Office   |      | Attorney's Docket No.<br>20852-05135 |       | Serial No.<br>09/851,593 |                            |
| INFORMATION DISCLOSURE CITATION<br><br>(Use several sheets if necessary)  |    |  |      | Applicant<br>Tian Shen et al.        |       |                          |                            |
|   |    |  |      | Filing Date<br>May 8, 2001           |       | Group Art Unit<br>2633   |                            |
| U.S. PATENT DOCUMENTS   |    |  |      |                                      |       |                          |                            |
| Examiner Initial  |    | Document Number  | Date | Name                                 | Class | Subclass                 | Filing Date If Appropriate |
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| FOREIGN PATENT DOCUMENTS  |    |  |      |                                      |       |                          |                            |
|   |    | Document Number  | Date | Country                              | Class | Subclass                 | Translation<br>Yes No      |
|   |    |  |      |                                      |       |                          |                            |
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| EXAMINER  |    | DATE CONSIDERED  |      | 4/5/04                               |       |                          |                            |
| EXAMINER: Initial if references considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. |    |  |      |                                      |       |                          |                            |
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| <b>INFORMATION DISCLOSURE CITATION</b><br><br>(Use several sheets if necessary)  |     |   |      | Applicant<br>Tian Shen et al.        |                        |                          |                            |
|  |     |   |      | Filing Date<br>May 8, 2001           |                        | Group Art Unit<br>2633   |                            |
| <b>U.S. PATENT DOCUMENTS</b>   |     |   |      |                                      |                        |                          |                            |
| Examiner Initial   |     | Document Number   | Date | Name                                 | Class                  | Subclass                 | Filing Date If Appropriate |
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| <b>FOREIGN PATENT DOCUMENTS</b>  |     |   |      |                                      |                        |                          |                            |
|  |     | Document Number   | Date | Country                              | Class                  | Subclass                 | Translation<br>Yes No      |
|  |     |   |      |                                      |                        |                          |                            |
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|  |     |   |      |                                      |                        |                          |                            |
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| EXAMINER   |     |   |      |                                      | DATE CONSIDERED 8/5/04 |                          |                            |
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| <b>INFORMATION DISCLOSURE CITATION</b><br>Form PTO-1449 (Modified)<br><i>(Use several sheets if necessary)</i> |                 |           |          |                 | ATTY. DOCKET NO.<br>LFS-107   |  | SERIAL NO.<br>UNASSIGNED |  |
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|  |                 |           |          |                 | APPLICANT<br>Cizdziel         |  |                          |  |
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| <b>U.S. PATENT DOCUMENTS</b>   |                 |           |          |                 |                               |  |                          |  |
| Examiner Initial   | Document Number | Date      | Name     | Class           | Subclass                      | Filing Date<br><small>If Appropriate</small> |                          |  |
| MC   | AA              | 3,686,517 | 8/22/72  | Sexton, Jr.     | 307                           | 310  | 9/2/71                   |  |
| MC   | AB              | 4,529,949 | 7/16/85  | de Wit et al.   | 330                           | 289  | 2/8/83                   |  |
| MC   | AC              | 4,552,458 | 11/12/85 | Lowne           | 356                           | 446  | 10/11/83                 |  |
| MC   | AD              | 4,632,559 | 12/30/86 | Brunsting       | 356                           | 416  | 2/21/85                  |  |
| MC   | AE              | 4,787,398 | 11/29/88 | Garcia et al.   | 128                           | 770  | 7/25/86                  |  |
| MC   | AF              | 4,985,205 | 1/15/91  | Fritsche et al. | 422                           | 56   | 12/27/89                 |  |
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| MC   | AI              | 5,059,394 | 10/22/91 | Phillips et al. | 422                           | 68.1   | 2/11/88                  |  |
| MC   | AJ              | 5,477,853 | 12/26/95 | Farkas et al.   | 128                           | 633  | 12/1/92                  |  |
| MC   | AK              | 5,843,692 | 12/1/98  | Phillips et al. | 435                           | 14   | 9/30/97                  |  |
| MC   | AL              | 5,995,236 | 11/30/99 | Roth et al.     | 356                           | 445  | 4/13/98                  |  |
| MC   | AM              | 5,968,760 | 10/19/99 | Phillips et al. | 435                           | 14   | 11/7/97                  |  |
| <b>FOREIGN PATENT DOCUMENTS</b>  |                 |           |          |                 |                               |  |                          |  |
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| AN   | WO 99/23479     | 05/14/99  | PCT      |                 | Yes                           | No   |                          |  |
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